

# Application for Funding Projects



## **About this form**

This form enables you to make an application for funding over \$100,000 from the Provincial Growth Fund for applications relating to the delivery of projects.

You will need to use the Express Form if your application is for an activity under \$100,000 or the Development Phase Form if your application is within the Development phase of a Project (i.e. feasibility / business case).

These forms are available on the [Provincial Growth Fund website](#)

## **Purpose of the Provincial Growth Fund**

The Provincial Growth Fund aims to lift productivity potential in the provinces. Its priorities are to enhance economic development opportunities, create sustainable jobs, enable Māori to reach their full potential, boost social inclusion and participation, build resilient communities, and help meet New Zealand's climate change targets.

## **Completing this form**

Please complete all sections fully and accurately. Square brackets and italics indicate guides.

Please see the PGF website, or contact your regional relationship manager, for further support.

## **Submitting your application**

All completed forms must be emailed to [PGF@mbie.govt.nz](mailto:PGF@mbie.govt.nz) with a clear subject included.

If you are a Trust (or applying on behalf of a Trust), then you must provide a copy of your Trust Deed.

## **Next Steps**

Applications will be assessed for eligibility, as well as how well they will deliver on the aims of the Provincial Growth Fund. One of our team will be in contact regarding your application.

## **Funding Agreement**

The template funding agreements can be found on the [Provincial Growth Fund website](#)

## **Public disclosure**

The Provincial Development Unit is responsible for leading the Provincial Growth Fund's design, administration and monitoring its operation in consultation with other government agencies. In the interests of public transparency, successful applications may be published by the Provincial Development Unit. Commercially sensitive and personal information will be redacted by reference to the provisions of the Official Information Act 1982. Please identify by highlighting any information in your application that you regard as commercially sensitive or as personal information for the purposes of the Privacy Act 1993.

## Part A: Key Details

Please note that if the funding agreement will not be held with the applicant (i.e. applying on behalf of another organisation), then we require the details of that organisation.

1. Proposal Title: Kaipara District Council – Kaipara Kickstart (Analysis and Feasibility Study – Wharves [Kaipara Moana Activation Plan] )

2. Please provide a very brief description of the project/activity:

This project aims to begin the redevelopment of the biggest harbour in New Zealand. An analysis of costs and stakeholder engagement will be conducted, followed by a feasibility study to develop the detailed planning required for subsequent phases of development. Construction of tangible projects for which design and feasibility are completed can be commenced quickly.

Kaipara Moana is one of three projects in a combined “Kaipara Kickstart” package, the other two projects focus on Roads and Kai.

3. Please provide the details of the applicant organisation/entity for which funding is being requested:

<b>Legal Name:</b>	Kaipara District Council
<b>Entity Type:</b>	Local Authority
<b>Registered Offices / Place of Business:</b>	42 Hokianga Road, Dargaville 0310
<b>Identifying Number:</b>	
<b>Organisation’s Website:</b>	<a href="http://www.kaipara.govt.nz">www.kaipara.govt.nz</a>

4. Please provide the contact details for a person as a key point of contact):

<b>Contact Name and Role:</b>	Jason Marris (GM)		
<b>Email Address:</b>	Privacy of natural persons	<b>Telephone:</b>	Privacy of natural persons

5. Please describe the principal role or activity of the applicant organisation.

The Kaipara District Council (the “KDC”) delivers all of the normal services of a District Council.

KDC’s role is to lead and represent their community, while considering the needs of people currently living in the District and those who will live there in the future. Core to KDC’s local governance role is providing a sustainable future for its ratepayers by maximising the opportunities available in the region.

With a rating base of only 22,000 people, annual revenue cannot overcome the infrastructural deficit that the region has inherited. This PGF package is the first of a series of packages envisaged. It focuses on three areas that need addressing before anything else can happen: roads, kai and wharves.

Kaipara has historically been underfunded due to its low ratepayer base, however, with the assistance of the PGF there is a significant opportunity to unlock the potential of the Kaipara harbour, through a number of identified initiatives.

The remainder of this application focuses on the analysis and feasibility section (1) of the second project: **Wharves**.

**Three** interconnected projects form the basis of a package collectively referred to as “Kaipara Kickstart”.

— Kai: Unlocking the potential of fertile land assets in the Kaipara through a feasibility study (building on the basis of a 2003 study already produced) and programme of work to begin the transformation of land productivity. In addition, a local office will be opened to immediately begin assisting local growers, land managers and farmers to investigate and introduce higher-value crops.

— **Wharves:** Making the harbour accessible to tourism and the horticulture industry, and providing a lasting

— connection to Auckland, to provide a sustainable future for the Kaipara. Phase one initiatives include:

- (1) **Analysis, stakeholder engagement and undertaking a feasibility study to determine the next steps in development of significant wharf infrastructure across the Kaipara Harbour;** and
- (2) The development of infrastructure; building a wharf at Pōuto Point to connect Waikaretu Marae and start the flow of tourism and the installation of a pontoon at Dargaville to allow better access (e.g. for Waka)

— Roads: Remediation and upgrade work to bring current roading infrastructure up to standard. The primary drivers of this are land access and road user (e.g. tourist) safety. (We understand the roading project may be subject to further discussion with the NZTA and the PGF to determine appropriate levels of funding from each).

6. This project will be based in the region of:

7. What type of funding is this application for:

*[Note: the most appropriate funding type will be determined by the PDU in consultation with the applicant]*

8. What is the activity / funding start and end date?

<b>Start Date:</b>	<small>Commercial Information</small>	<b>Completion Date:</b>	<small>Commercial Information</small>
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9. Has this project / activity been previously discussed with any part of Government? Yes:  No:

- If Yes, please describe which part of government, and what the outcome of the discussions were.

Initial discussion Paul Swallow – Investment Director, PDU.  
Encouraged Kaipara package, to outline the separate pieces and explain how they were connected.

10. Have you previously received Government funding for this Project? Yes:  No:

- If Yes, please list which part of the Government, when the funding was received, and how much under Q11.

11. Please set out the proposed sources of funding for the Project:

<b>Source of Funding:</b> <i>[please indicate where all other funding is sourced from, noting who the funder is]</i>	<b>\$ (excluding GST)</b>	<b>Status / Commentary</b> <i>[i.e. received / confirmed / in principle]</i>
<i>Provincial Growth Fund Funding (through this application)</i>		
Phase 1a Wharves: Initial analysis, stakeholder engagement, feasibility study including Kaipara Moana Ferry Services, designs of all proposed wharves, and activation plan.	\$950,000	This application, pending approval.
<i>[please specify all other sources of funding, including prior Govt. funding]</i> For phase one, no other funding has been considered.	\$0.00	
<b>Total:</b>	<b>\$950,000</b>	

**Part B: Project Description**

12. This application is: “a stand-alone activity”  or “in support of a wider project/programme”

13. Will additional funding be required in the future?

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If Yes, please describe at a high level, what this may include, and when this is likely to be applied for.

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14. Has a feasibility study, or equivalent, been conducted prior to this application?

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- If Yes; please provide a copy, including an overview of the feasibility study and any outcomes.
- If No, please explain why not; and how feasibility/viability of the project has been assured.

Commercial Information

15. Please provide a detailed description of this project for which funding is being applied:

### **The opportunity**

The Kaipara has a plethora of untapped social, human and physical capital – a fantastic opportunity is available in its beaches, land, people, and culture. Unlocking these opportunities is essential to the Kaipara’s success and prosperity.

The primary drivers of these opportunities are access, horticulture, tourism, and land development.

The Kaipara Harbour is the biggest harbour in New Zealand. Ferries will link Auckland to Kaipara with the introduction of a ferry service. Tourism operators and locals will be able to use the wharves to improve their incomes and job opportunities. Creating this travel corridor to Auckland will create a wealth of further opportunities for Kaipara residents.

The feasibility study and activation plan are a priority for the region as they will build on the earlier investigations into opening up the wharf network, and will form the building blocks for future development in the region, without it the project cannot advance.

### **The project**

#### *Feasibility of a network of wharves*

Phase one of the project, the focus of this application, includes undertaking an initial analysis of costs for the wharves projects (including Pōuto Point wharf, and Dargaville pontoon – a separate application has been prepared for funding these infrastructure elements), stakeholder engagement, and a feasibility study and activation plan for development of the network of wharves and water transport in Kaipara to connect horticulture and tourism and provide a travel corridor through to Auckland.

The analysis will include a commercial and financial focus to find revenue streams for KDC. This will incorporate engaging with key stakeholders, including council, local Iwi and communities.

The feasibility study, broadly, will include;

- Undertaking an engineering assessment of all current wharves on Kaipara Moana and estimate the work required to upgrade or replace the necessary sections;
- Consideration of wharf access and its effects on proposed horticulture industry and tourism; and
- Development of a business case to phase wharf projects around the highest value and linkages with dependent projects.

The activation plan will utilise the knowledge gained from the feasibility study to establish a detailed plan to carry out phase two of the project.

Phase two builds on the phase one feasibility and will seek funding to implement critical high traffic area wharves and related infrastructure (toilets, car parking, etc). This would be a separate TIF application.

### **The outcomes**

#### *Employment and community*

The wider wharves project has the potential to connect communities at the ‘fingertips’ of land that jut out into the Kaipara Harbour. It would invite visitors to access our region, and create logistics routes similar to historical waka access via a network of wharves across the Kaipara, wharves that once existed across the Kaipara until the harbour

port was closed in 1947. Not only will wharves and ferry services connect the communities, they will connect locals to wider employment opportunities outside of the Kaipara, but primarily in core Kaipara horticulture and tourism industries.

An increase in accessibility through the project will drive increased traffic, and in turn increased business propositions for tourist operators invigorating these communities, particularly the western side of the district from both outside and inside the Kaipara.

Changing tourism needs in the Kaipara will drive growth in job prospects for our communities, an adept connection to the land in Kaipara, and distinct local knowledge providing increased employment prospects for local operators and residents. As the fastest growing region in the North Island we need to ensure that employment growth matches our population growth, and the project provides an incentive for locals to engage in and embrace tourism, opening up opportunities for new business in the region.

#### *Regional revenue/economic potential*

A network of wharves in the Kaipara harbour has the potential to facilitate and support an expansive horticulture industry in the region (please see attached documentation). The horticulture opportunity is approximately <sup>Commercial Info</sup> hectares, in comparison with the Pukekohe Hub, that produces \$<sup>Commercial Info</sup> of revenue with only <sup>Commercial Info</sup> hectares.

The Kaipara is currently an untapped resource of tourism hotspots, unknown and overlooked by tourists travelling to Northland due to the current limited accessibility. Northland captures around 5% of New Zealand's visitor activity. Considering New Zealand's strong growth of international tourism over the past 5 years (5% per annum) this project in combination with the wider kickstart project, will ensure KDC are poised to capitalise on these growing tourism opportunities.

The projects will increase visitor spending opportunities by opening up Kaipara at Auckland's back door – particularly important as the majority of tourists begin their journeys in Auckland. It will offer an alternative route north to Te Rerenga Wairau, a popular attraction for visitors, while also contributing to the growth of the Māori tourism industry.

Average tourism spend per tourist night in Northland is approximately \$500 (with day trips expected to be around \$100) so addressing the infrastructure deficit that is preventing an increased flow of tourism will generate real revenue and employment opportunities in the District.

#### *Environmental sustainability*

Moving travel off roads and onto waterways is likely to reduce greenhouse gas emissions. It is envisaged that Kaipara ferries (following construction of the wharf network) will be hydrogen-powered and the entire Kaipara Moana Activation Plan will have Net Carbon Zero emissions. **The opportunity is to create the New Zealand's largest sustainable public transport system** – on the Kaipara, at the back of Auckland, where there is no public connection at present.

#### **Funding sought**

Funding is sought from the PGF for phase one of the project. A phase two funding bid will be put forward once phase one feasibility studies are complete. Phase one includes funding for:

#### *Analysis and stakeholder engagement*

- Initial commercial and economic analysis of costing (analysis of costs for Pōuto and Dargaville Pontoon included) and stakeholder engagement for the Kaipara wharf projects.

\$<sup>Commercial Info</sup>

#### *Feasibility and activation plans*

- Detailed feasibility study and activation plan for the Kaipara Wharves infrastructure.

\$<sup>Commercial Info</sup>

16. How does this project demonstrate additionality within the region?

***Project is not already underway, does not involve maintenance of core infrastructure or assets (except for transport resilience initiatives), and does not cover activities the applicant is already funded for (funding could be considered to increase the scale of existing projects or re-start stalled projects)***

No comprehensive economic or commercial analysis has been performed to determine wharf infrastructure viability in the Kaipara. A feasibility study is required to determine whether the project will be achievable and, if so, what that requires. An activation plan would be created and undertaken following feasibility analysis.

KDC is not funded for any of the activities proposed in this PGF.

***Demonstrated benefit of central Government investment or support***

As outlined earlier, revenue and employment growth potential is substantial given the land potentially accessible for horticulture and tourism development with the opening up of the wharf network. Increased employment opportunities through access will provide tangible economic benefit to local Iwi members as well as the wider Northland horticulture and tourism industry through a well-connected network of wharves and roads to transport people and goods. Currently there is very little transport or horticulture development. The proposed feasibility study will identify the benefits of developments of this kind, and define other benefits to the area. The results of this study will clearly identify next steps in the development, and a plan to action these steps.

***Detail of any supporting third party funding (and any funding sought unsuccessfully)***

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***Acts as a catalyst to unlock a region's productivity potential***

As noted earlier, the Kaipara is currently unable to fully capitalise on the growing tourist numbers to the Northland region, as well as the growing Māori tourism industry. Tourism opportunities will be far higher for the Kaipara with a ferry link from South Head to Pōuto wharf, this will link Dargaville into Northland via the west coast. It will also provide greater access to walking and cycle trails not easily accessible currently. A feasibility study and activation plan will be integral to developing the necessary steps it needs to take to achieve the above.

***Demonstrated links to other tiers of the Fund and related projects, to maximise value of Government investment***

As noted earlier, this application is for the first stage of phase one of the wharves project, which is one project in a package of three, collectively referred to as Kaipara Kickstart. The intention of phase one is to build a wharf at Pōuto Point and a pontoon at Dargaville, and provide a feasibility study from which informed decisions can be made for further investment in the Kaipara. A secondary application for funding will follow the feasibility analysis.

17. How is the project connected to regional (and sector) stakeholders and frameworks?

- As part of the initial analysis, KDC will be actively involved in engaging with stakeholders to determine the best outcomes of the project;
- KDC has existing positive relationships with Iwi groups in the Kaipara and intends to leverage those relationships to work through the requirements of our infrastructure projects;
- Existing projects in the Kaipara have an opportunity to link to the greater Kaipara Kickstart vision – KDC will be actively involved in ensuring that these projects are wrapped into the wider revitalisation to provide efficiency and a common project direction.

We note that a letter from **Commercial Information** provides official support for this project, as well as the supporting Kai project.

Continued dialogue will be had with all stakeholder groups and individuals throughout phase one and two of this project.

There is support for the project amongst the **Commercial Information**.

PROACTIVELY RELEASED



18. How will your project lift productivity potential in the regions?

*[We want to understand how your project will meet the primary objective of the fund: “to lift productivity potential in the regions”. Please provide a description of this and where relevant, please cover how your project contributes to the following outcomes:*

<b>PGF Outcome</b>	<b>✓</b>	<b>How will the project positively or negatively impact this outcome in the region(s) identified?</b>
1. Increase economic output	✓	<i>Please refer question 15. Potential for considerable economic growth.</i>
2. Enhance utilisation of and/or returns for Māori assets	✓	<i>As above.</i>
3. Increase productivity and growth	✓	<i>As above.</i>
4. Increase local employment and wages (in general and for Maori)	✓	<i>Please refer question 15. Potential for considerable employment opportunity.</i>
5. Increase local employment, education and/or training opportunities for youth (in general and for Māori)	✓	<i>As above. Employment opportunities will increase with improved maritime connections.</i>
6. Improve digital communications, within and/or between regions	✓	<i>Improved networks will inevitably provide an element of interconnectivity through digital communications.</i>
7. Improve resilience and sustainability of transport infrastructure within and/or between regions	✓	<i>Wharf infrastructure is integral to providing local industry access to AKL for shifting of crop and tourists (local and international). Connects AKL to Kaipara and Dargaville.</i>
8. Contribute to mitigating or adapting to climate change	✓	<i>Horticulture is a proven low environmental impact use of land. The wharf network would open the Kaipara to horticulture industry. A Net Carbon Zero public transport system that connects Auckland to Kaipara reducing reliance on SH1</i>
9. Increase the sustainable use of and benefit from natural assets	✓	<i>As above.</i>
10. Enhance wellbeing, within and/or between regions	✓	<i>Growing jobs and educating Iwi and locals in the Kaipara has the potential to materially increase income and social outcomes for the whole Northland region and between Auckland and Northland.</i>
Total number of outcomes project contributes to	10/10	<i>Please refer to the project summary document and question 15 for further detail.</i>

19. Has public consultation been conducted?

Yes:

No:

If yes, what were the results?

If no, is there a plan to do so?

Full public consultation has not yet been conducted but discussions with community and Iwi leaders has indicated support for building wharves and a pontoon to facilitate the access of the area. We attach the relevant letters of support.

20. Has any customer demand analysis been undertaken?

Yes:

No:

- If yes, please provide a description of the analysis and its outcomes:
- If no, please describe why, and how you are sure of the need for the asset:

Customer demand analysis will be included in the feasibility study.

21. Where the project utilises land, does the land have any other interests associated with it? (i.e. Treaty claims, or iwi/hapū ownership)

Yes:

No:

The land is a mix of Iwi owned, privately owned, and crown and council owned land. A current treaty claim is in the process of being settled for the catchment of the Kaipara Harbour.

22. Is the land is owned by others, i.e. not solely by the applicant?

If yes, then please describe the other interests and how will this be managed?

Relationships are positive with Iwi and there is ongoing dialogue between the parties that will continue.

23. Does the land have appropriate Resource Management Act consents?

Yes:

No:

If no, how and when will this be addressed?

Feasibility studies as part of phase one of the project will establish what the relevant approval process is for any further development. A programme of works will set a pathway to achieving the desired development of land for tourism and/or horticulture.

## Part C: Project Delivery

[Please note – this section refers to the actual activity associated with this application.]

24. Please provide an overview of the project management approach / plan for this activity.

- *How the activity will be managed from your organisation?*

The project will be conducted by KDC, with support from third parties to perform the relevant financial and qualitative analysis, and who will provide the feasibility studies and programme of work for KDC to proceed. This will enable KDC to take the next steps to engage stage two of the projects.

- *What involvement is required by the Provincial Development Unit?*

KDC would appreciate assistance from Provincial Development Unit to provide advice and connectivity to adjoining and complementary projects to the Kaipara Kickstart project. If KDC and other stakeholders can be made aware of additional projects in the region, it is possible efficiencies can be gained for the betterment of Kaipara and Northland as a whole.

- *What other partners are required for successful delivery?*

KDC would like to partner with appropriate external expert providers to deliver initial analysis and feasibility studies, combined with a programme of work to enable stage two of the project. Partnership will be sought with local Iwi for the development of horticulture and wharf infrastructure (we note relationships are already productive), further partnerships will be sought with technical service providers (engineering, horticulture, other) to enable the building of horticulture and tourism industry, as well as other supporting infrastructure.

We note a number of other projects in Northland are underway, and will be considered as part of KDC's wider delivery strategy.

- *What project management practices will be in place?*

KDC, with support from appropriate professional services firms, will manage the first stage of the project which involves the analysis of a number of factors essential to core decision making in the second stage of the project.

KDC have a robust Project Governance framework that will run across activities managed internally.

- *Who are the key personnel within the organisation relating to this project?*

Mayor - KDC

Louise Miller – Chief Executive, KDC

Jason Marris – General Manager - Governance, Strategy and Democracy

- *Please include bio's and provide an organisational/project structure where possible.*

<https://www.kaipara.govt.nz/Our+Council/Mayor+and+Councillors.html>

Privacy of natural persons

Privacy of natural persons

Please refer to the activity timeline in the attached project summary document for project structure.

See attached "Kaipara Kickstart" A3 document page 8

- *Please attach a copy of your health and safety policy that will apply for this project.]*

<https://www.kaipara.govt.nz/Our+Council/Health+and+Safety.html>

25. Have you had independent verification of the project approach / plan?

Yes:

No:

If yes, who verified the project and when?

We have engaged a range of professional services firms over previous years. These have formed the base for this application and attached additional analysis factored into the costings in this proposal can be used to refine costs as needed.

26. Please provide us with a project plan, where possible please attach a schedule (i.e. Gantt chart):

*[Please use the following table to describe the milestones of the project, if preferred, a schedule can be provided]*

#	Project Activity	Responsible:	Date / Period:
1	<b>Network of wharves:</b> An initial commercial and economic analysis of the costs associated with development of the wharf and pontoon, as well as engagement with stakeholders	Process project managed and delivered by existing professional advisor, with oversight from <small>Privacy of natural persons</small>	<small>Commercial Information</small>
2	<b>Network of wharves:</b> Initial analysis of stakeholder engagement and consultation with associated parties and relevant stakeholders to gather feedback on the above analysis.	As above	<small>Commercial Information</small>
3	<b>Network of wharves:</b> a feasibility study and completed report to: — Conduct economic and financial analysis on the future phases of the wharves project — Explore designs and further options for developing phase 1B of the wharves project	As above	<small>Commercial Information</small>
4	<b>Network of wharves:</b> development and confirmation of an activation plan to leverage the outcomes of the feasibility study that will guide the process, and the project, into the next phase.	As above	<small>Commercial Information</small>

Please also see attached "Kaipara Kickstart" A3 document page 8

27. Please provide a complete breakdown of the costs of the project to assist us in understanding where the funds will be utilised:

*[Note that figures in this table must align with other figures provided in Q11. Please use as many lines as it takes to provide us with the appropriate detail. If more suitable, please attach a budget spreadsheet to this application]*

Cost Description:	\$ (excluding GST)
Network of Wharves: Initial commercial and financial analysis	<small>\$Commercial Info</small>
Network of Wharves: Stakeholder engagement	<small>\$Commercial Info</small>
Network of Wharves: Feasibility study and report	<small>\$Commercial Inform</small>
Network of Wharves: Detailed activation plan	<small>\$Commercial Inform</small>
<b>Total</b>	<b>\$950,000</b>

Please also see attached "Kaipara Kickstart" A3 document page 8

28. What are the proposed deliverables if funding is approved?

*[Please use the following table, consider what deliverables there will be, when, and whether there are any payments associated with them and against what criteria payment should be made. If it is a single deliverable with single payment, please just use one line]*

#	Description	Payment criteria:	Invoice Value \$ (Exc. GST)	%	Invoice Date:
1	<b>Initial Analysis:</b> Completed initial commercial and financial analysis, report provided to KDC.	Fixed price, single deliverable.	\$ Commercial Info	Commercial %	Commercial Information
2	Initial analysis of stakeholder engagement, report provided to KDC (joint with above initiative).	Fixed price, single deliverable.	\$ Commercial Info	Commercial %	Commercial Information
3	Feasibility Study completed and report provided.	Fixed price, single deliverable.	\$ Commercial Info	Commercial %	Commercial Information
4	Detailed activation plan completed and report provided.	Fixed price, single deliverable.	\$ Commercial Info	Commercial %	Commercial Information

See attached "Kaipara Kickstart" A3 document page 8

29. Please provide a description of why Government funding is required to deliver this project?

Please refer to rationale in project summary document, and project description in question 15.

30. Please provide an overview of the applicant's relevant skills and experience for delivering a projects of this nature:

KDC has experience in delivering various infrastructure projects for the Kaipara. KDC has actively sought to limit any risk with this project by engaging with relevant experts to provide feasibility studies and activation plans in phase one.

These will guide decision making processes into stage two of the project, at which point further consideration will be given to how risk in delivery will be minimised in the same way.

KDC will leverage the experience of its management team, along with the experience of its advisors and partners to ensure that the project is delivered efficiently.

KDC's core project management team include:

Jason Marris – General Manager

31. Please explain the Governance arrangements for this project

Louise Miller – Chief Executive  
 Mayor - KDC

In phase one of the project the KDC leadership team will implement the project, with guidance from external advisor /consultants. Phase two of the project will require consultation with Iwi groups, the PDU, and other stakeholders. KDC will continue to engage professional guidance to ensure the project is delivered efficiently and effectively.

There will be an internal project management structure established to oversee and monitor progress on all the successful PGF applications. The governance board would also provide updates to the Council via the quarterly reporting mechanism which currently exists.

In addition to the project management governance there will be wider regional stakeholder engagement that includes, **Commercial Information**

32. What procurement process has been undertaken (i.e. selection of a provider), or will be undertaken, and how will that be managed?

KDC’s selected advisors will have the relevant experience and knowledge required to conduct initial analysis, feasibility study, and activation programme in the timeframe required. This will ensure that phase two of the project is appropriately defined to enable investment.

For phase two of the project, KDC will ensure that the procurement policy is followed and appropriate approaches to tendering, evaluation and selection are followed, and any ‘all of government’ supplier opportunities are explored ensuring value is delivered at all stages of the project. KDC have three internal resources with procurement expertise.

Ongoing management of the supplier interactions for the feasibility will be managed by a Project Manager within Council. The project manager will be identified internally once the scope of the PGF programme is confirmed.

33. What risks are associated with the delivery of this activity?

#	Risk	Mitigation approach	Rating
1	[e.g. if the market is unable to respond to the need, then the deliverable will not be provided]	-	[High/Medium/Low]
2	[e.g. if the contractor’s price is not accurate, then additional funding may be required]	-	[H/M/L]
3	[e.g. if access to stakeholders is not achieved, then full consultation may not occur]	-	[H/M/L]
x		-	

Phase one of the project is a relatively low risk, fixed price proposition which includes:

- Initial analysis and stakeholder engagement
- Feasibility studies

Initial risks will be identified as part of the analysis and stakeholder engagement phase, as well as through feasibility studies proposed.

Commercial Information

Commercial Information

34. Will the applicant own the asset on delivery? Yes:  No:

If no, please describe who will own the asset.

N/A

35. When the project is delivered, what is the plan to operationalise the asset (if an asset), and maintain it through life?

Infrastructure and assets will be maintained by KDC.

36. What will the impact be on the applicant's financial accounts?

*[Please describe what impact the funding will have on the applicant's financial accounts over the time of the project.]*

The funding will be fully utilised to support the projects from inception through to delivery. KDC does not have its own resources to contribute, so will be fully reliant on the PGF funding to complete the projects.

The below information is available on request

- Growth forecasts / projections post project completion.
- 2 years of financial accounts.
- Current banking arrangements.
- Details of any borrowings (including lender, loan values and loan maturity dates).
- Current level of debt and equity and financial Ratios (i.e. Debt to Equity, Debt to Revenue, and Current Ratio).
- Insurance provider

**Part D: Declarations**

Commercial Information

- 37. Has this activity ever been declined Crown Funding in the past?
- 38. Is the applicant or the contracting entity insolvent or subject to any insolvency action, administration or other legal proceedings?
- 39. The contracting entity is compliant and will continue to comply with all applicable laws, regulations, rules and professional codes of conduct or practice including but not limited to health and safety and employment practices
- 40. Is any individual involved in the application, the proposed contracting entity or the project, an undischarged bankrupt?
- 41. Is any individual under investigation for, or has any individual been convicted of, any offence that has a bearing on the operation of the project?
- 42. Are there any actual, potential or perceived conflicts of interest that the applicant or any of the key personnel have in relation to this project.  
 "In a small country like ours, conflicts of interest in our working lives are natural and unavoidable. The existence of a conflict of interest does not necessarily mean that someone has done something wrong, and it need not cause problems. It just needs to be identified and managed carefully..."  
<https://www.oag.govt.nz/2007/conflicts-public-entities>

If you answered "Yes" to any of the above, please provide a description below:

Commercial Information

By completing the details below, the applicant makes the following declaration about its application for Provincial Growth Fund funding for the project ("application"):

- I have read, understand and agree to the Terms and Conditions of applying for Provincial Growth Fund funding which are attached as Appendix 1;
- The statements in the application are true and the information provided is complete and correct, and there have been no misleading statements or omissions of any relevant facts nor any misrepresentations made;
- I have secured all appropriate authorisations to submit the application, to make the statements and to provide the information in the application;
- I consent to this application being publically released if funding is approved. I have identified the commercially sensitive and personal information.
- The applicant warrants that it has no actual, potential or perceived conflict of interest (except any already declared in the application) in submitting the application, or entering into a contract to carry out the project. Where a conflict of interest arises during the application or assessment process, the applicant will report it immediately to the Provincial Development Unit by emailing [PGF@mbie.govt.nz](mailto:PGF@mbie.govt.nz); and
- I understand that the falsification of information, supplying misleading information, or the suppression of material information in this application, may result in the application being eliminated from the assessment process and may be grounds for termination of any contract awarded as a result of this application process.

**Full name:**

Louise Miller

**Title / position:**

Chief Executive – Kaipara District Council

**Signature:**

Privacy of natural persons

**Date:**

29<sup>th</sup> November 2018



## **Appendix 1 – Terms and Conditions of this Application**

### **General**

The terms and conditions are non-negotiable and do not require a response. Each applicant that submits a request for Provincial Growth Fund (“PGF”) funding (each an “application”) has confirmed by their signature on the application that these terms and conditions are accepted without reservation or variation.

The Provincial Growth Fund is a government initiative which is administered by the Provincial Development Unit, a unit within the Ministry of Business, Innovation and Employment. Any reference to the Provincial Development Unit in these terms and conditions, is a reference to MBIE on behalf of the Crown.

### **Reliance by Provincial Development Unit**

The Provincial Development Unit may rely upon all statements made by any applicant in an application and in correspondence or negotiations with the Provincial Development Unit or its representatives. If an application is approved for funding, any such statements may be included in the contract.

Each applicant must ensure all information provided to the Provincial Development Unit is complete and accurate. The Provincial Development Unit is under no obligation to check any application for errors, omissions, or inaccuracies. Each applicant will notify the Provincial Development Unit promptly upon becoming aware of any errors, omissions, or inaccuracies in its application or in any additional information provided by the applicant.

### **Ownership and intellectual property**

Ownership of the intellectual property rights in an application does not pass to the Provincial Development Unit. However, in submitting an application, each applicant grants the Provincial Development Unit a non-exclusive, transferable, perpetual licence to use and disclose its application for the purpose of assessing and decision making related to the PGF application process. Any hard copy application or documentation supplied by you to the Provincial Development Unit may not be returned to you.

By submitting an application, each applicant warrants that the provision of that information to the Provincial Development Unit, and the use of it by the Provincial Development Unit for the evaluation of the application and for any resulting negotiation, will not breach any third-party intellectual property rights.

### **Confidentiality**

The Provincial Development Unit is bound by the Official Information Act 1982 (“OIA”), the Privacy Act 1993, parliamentary and constitutional convention and any other obligations imposed by law. While the Provincial Development Unit intends to treat information in applications as confidential to ensure fairness for applicants during the assessment and decision making process, the information can be requested by third parties and the Provincial Development Unit must provide that information if required by law. If the Provincial Development Unit receives an OIA request that relates to information in this application, where possible, the Provincial Development Unit will consult with you and may ask you to confirm whether the information is considered by you to be confidential or still commercially sensitive, and if so, to explain why.

The Provincial Development Unit may disclose any application and any related documents or information provided by the applicant, to any person who is directly involved in the PGF application and assessment process on its behalf including the Independent Advisory Panel (“IAP”), officers, employees, consultants, contractors and professional advisors of the Provincial Development Unit or of any government agency. The disclosed information will only be used for the purpose of participating in the PGF application and assessment process, which will include carrying out due diligence. If an application is approved for funding, information provided in the application and any related documents may be used for the purpose of contracting.

In the interests of public transparency, if an application is approved for funding, the application (and any related documents) may be published by the Provincial Development Unit. Commercially sensitive and personal information will be redacted by reference to the provisions of the Official Information Act 1982.

### **Limitation of Advice**

Any advice given by the Provincial Development Unit, any other government agency, their officers, employees, advisers, other representatives, or the IAP about the content of your application does not commit the decision maker (it may be Senior Regional Officials, Ministers or Cabinet depending on the level of funding requested and the nature of the project) to make a decision about your application.

This limitation includes individual members of the IAP. The IAP's recommendations and advice are made by the IAP in its formal sessions and any views expressed by individual members of the IAP outside of these do not commit the IAP to make any recommendation.

#### **No contractual obligations created**

No contract or other legal obligations arise between the Provincial Development Unit and any applicant out of, or in relation to, the application and assessment process, until a formal written contract (if any) is signed by both the Provincial Development Unit and a successful applicant.

#### **No process contract**

The PGF application and assessment process does not legally oblige or otherwise commit the Provincial Development Unit to proceed with that process or to assess any particular applicant's application or enter into any negotiations or contractual arrangements with any applicant. For the avoidance of doubt, this application and assessment process does not give rise to a process contract.

#### **Costs and expenses**

The Provincial Development Unit is not responsible for any costs or expenses incurred by you in the preparation of an application.

#### **Exclusion of liability**

Neither the Provincial Development Unit or any other government agency, nor their officers, employees, advisers or other representatives, nor the IAP or its members will be liable (in contract or tort, including negligence, or otherwise) for any direct or indirect damage, expense, loss or cost (including legal costs) incurred or suffered by any applicant, its affiliates or other person in connection with this application and assessment process, including without limitation:

- a) the assessment process
- b) the preparation of any application
- c) any investigations of or by any applicant
- d) concluding any contract
- e) the acceptance or rejection of any application, or
- f) any information given or not given to any applicant(s).

By participating in this application and assessment process, each applicant waives any rights that it may have to make any claim against the Provincial Development Unit. To the extent that legal relations between the Provincial Development Unit and any applicant cannot be excluded as a matter of law, the liability of the Provincial Development Unit is limited to \$1.

Nothing contained or implied in or arising out of the PGF documentation or any other communications to any applicant shall be construed as legal, financial, or other advice of any kind.

#### **Inducements**

You must not directly or indirectly provide any form of inducement or reward to any IAP member, officer, employee, advisor, or other representative of the Provincial Development Unit or any other government agency in connection with this application and assessment process.

#### **Governing law and jurisdiction**

The PGF application and assessment process will be construed according to, and governed by, New Zealand law and you agree to submit to the exclusive jurisdiction of New Zealand courts in any dispute concerning your application.

#### **Public statements**

The Provincial Development Unit and any other government agency, or any relevant Minister, may make public in whole or in part this application form including the following information:

- the name of the applicant(s)
- the application title
- a high-level description of the proposed project/activity
- the total amount of funding and the period of time for which funding has been approved
- the region and/or sector to which the project relates

The Provincial Development Unit asks applicants not to release any media statement or other information relating to the submission or approval of any application to any public medium without prior agreement of the Provincial Development Unit.

## Appendix 2 - Operational criteria for all tiers of the Fund

### Link to Fund and government outcomes

- Demonstrate the ways in which the project will contribute to lifting the productivity potential of the region
- Demonstrate how the project contributes to the Fund's objectives of:
  - more permanent jobs
  - benefits to the community and different groups in the community
  - increased utilisation and returns for Māori from their asset base (where applicable)
  - sustainability of natural assets (e.g. water, soil integrity, the health and ecological functioning of natural habitats)
  - mitigating or adapting to climate change effects, including transitioning to a low emissions economy
- Clear evidence of public benefits (i.e. benefits other than increased profitability for the applicant)
- Are in a Government priority region or sector

### Additionality

- Project is not already underway, does not involve maintenance of core infrastructure or assets (except for rail and transport resilience initiatives), and does not cover activities the applicant is already funded for (funding could be considered to increase the scale of existing projects or re-start stalled projects)
- Demonstrated benefit of central Government investment or support
- Detail of any supporting third party funding (and any funding sought unsuccessfully)
- Acts as a catalyst to unlock a region's productivity potential
- Demonstrated links to other tiers of the Fund and related projects, to maximise value of Government investment

### Connected to regional stakeholders and frameworks

- Evidence of relevant regional and local support, either through existing regional development mechanisms, or through another relevant body such as a council, iwi or other representative group (or reasons for any lack of local support)
- Has been raised and discussed with the region's economic development governance group
- Alignment with, or support for the outcomes of, any relevant regional development plan, Māori development strategy or similar document (whether regional or national)
- Demonstrated improvement in regional connectedness (within and between regions)
- Leverage credible local and community input, funding, commercial and non-commercial partners
- Utilise existing local, regional or iwi/Māori governance mechanisms

### Governance, risk management and project execution

- Evidence of robust project governance, risk identification/management and decision-making systems and an implementation plan appropriate to the size, scale and nature of the project
- Future ownership options for capital projects, including responsibility for maintenance, further development, and other relevant matters
- Benefits and risks clearly identified and quantified, depending on the scale of the initiative
- Evidence of potential exit gates and stop/go points, and a clear exit strategy
- Clearly identifies whole of life costs (capital and operating)
- Dependencies with other related projects are identified
- Evidence of sustainability after conclusion of PGF funding
- Adequacy of asset management capability (for capital projects)
- Compliance with international obligations (where relevant)